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PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Masakazu KOBAYASHI;

Nippon Shokubai Co., Ltd.

Serial No.: 10/525,848 Filed: February 22, 2005

For: Compound Semiconductor Particles and Production Process

Therefor

Examiner: Group No.:

Confirmation No.:

Mail Stop Amendment Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

## Information Disclosure Statement

Pursuant to-37 C.F.R. §§ 1.56, 1.97 and 1.98, applicant hereby submits the reference(s) listed on the attached Form(s) 1449 (or equivalent) such that said reference(s) may be considered and made of record. A copy of each of the cited reference(s) is enclosed. No representation is made that any of the listed reference(s) is prior art pursuant to 35 U.S.C. § 102 and/or 35 U.S.C. § 103.

This Information Disclosure Statement is being filed in accordance with the following provision(s):

{18924.DOC}

I hereby certify that this correspondence and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date  $\underline{\text{May 21, 2005}}$  in an envelope as "Express Mail Post Office to Addressee" Mailing Number  $\underline{\text{ED-668-679-358-US}}$  addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Robert J. Jacobson, Reg. No. 32,419

(Information Disclosure Statement-page 1 of 2)

37 CFR 1.97(b)(1) Within three months of the filing date of the national application. No fee is required.

37 CFR 1.97(b)(3) Before the mailing date of a first Office Action on the merits. No fee is required.

37 CFR 1.98(c) When the disclosures of two or more patents or publications listed in an information disclosure statement are substantively cumulative, a copy of one of the patents or publication may be submitted without copies of the other patents or publications, provided that it is stated that these other patents or publications are cumulative. The following references are being submitted under this provision where each of the references within the following groups of references is believed to be cumulative of the other reference in said group:

- 1) JP-A-104684/1989
- 1) US 5,032,316
- 2) JP-A-41389/1990
- 2) US 5,006,277

37 CFR 1.98(a)(3)(i) A concise explanation of the relevance as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information, of each patent, publication, or other information listed that is not in the English language. The following references are being submitted under this provision with an English abstract:

- 5) JP-A-265166/2000
- 6) JP-B2-2514423/1996
- 7) JP-B2-2946763/1999
- 8) JP-A-64278/2003
- 9) JP-A-229635/1991
- 10) JP-A-314781/1992

Respectfully submitted,

Date: May 21, 2005

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

of

Application Number 10/525,848

Filing Date February 22, 2005

First Named Inventor Masakazu KOBAYASHI

Art Unit

(use as many sheets as necessary)

Examiner Name

Attorney Docket Number 02165PCT

**U.S. PATENT DOCUMENTS** Pages, Columns, Lines, Where Document Number Name of Patentee or Cite **Publication Date** xamine Relevant Passages or Relevant Applicant of Cited Document MM-DD-YYYY Figures Appear Initials No.1 Kind Code Number US- 5,032,316 07-16-1991 Takahashi et al. 2 US-5,006,277 04-09-1991 Yoneshima et al. 11-16-1999 4 US-5,985,173 Gray et al. US-11-29-1994 Tono et al. 11 5,368,886 เมร US-US-US-บร-US-US-USus-US-US-US-US-US-US-US-

				FOR	EIGN PATENT DO	CUMENTS		
Examiner Initials*	Cite	Foreign Patent Document Office <sup>3</sup> Number <sup>4</sup> Kind <sup>5</sup>			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant	
	No.1	011100	Trainboi	(if known)	IVIIVI-DD-1111	Tippings.it of Orlea Bootiment	Figures Appear	T⁵
	1	JP	1-104684	Α	04-21-1989	Kasei Optonix Co., Ltd.		
	2	JP	2-41389	Α	02-09-1990	Kasei Optonix Co., Ltd.		
	5	JP	2000-265166	А	09-26-2000	Sony Corp.		
	6	JP	2514423	B2	04-30-1996	Nichia Kagaku Kogyo KK		
	7	JP	2946763	B2	07-02-1999	Nichia Kagaku Kogyo KK		
	8	JP	2003-64278	Α	03-05-2003	Mitsubishi Chemicals Corp.		
	9	JP	3-229635	Α	10-11-1991	Nippon Sheet Glass Co., Ltd.		
	10	JP	4-314781	Α	11-05-1992	Samsung Electronic Devices		

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. See Finds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. See Finds Codes of USPTO Patent Documents, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Skind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

## ED-668-679.358-45

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				Application Number	10/525,848		
INFO	DRMATIC	N DI	SCLOSURE	Filing Date	February 22, 2005		
STATEMENT BY APPLICANT				First Named Inventor	Masakazu KOBAYASHI		
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(use as many sheets as necessary)			as necessary)	Examiner Name			
Sheet	two	of	two	Attorney Docket Number	02165PCT		
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OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS							
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²				
	3	DABBOUSI et al., (CdSe)ZnS Core-Shell Quantum Dots: Synthesis and Characterization of a Size Series of Highly Luminescent Nanocrystallites, J. Phys. Chem. B, 1997, pages 9463-9475, Vol. 101, No. 46, American Chemical Society, Washington, D.C.					
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<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.